

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**

Docket No.
14846-33

In Re Application Of: **ANDREW DODDINGTON**

Serial No.
TBA

Filing Date
October 30, 2003

Examiner
TBA

Group Art Unit
TBA

Invention: **Methods and Systems For Using XML Schemas To Identify and Categorize Documents**

TO THE COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

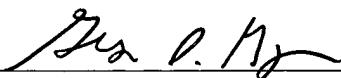
Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☒ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.


Signature

Dated: 10/30/2003

George Morgan, Esq., (Reg. No. 46,505)
LOWENSTEIN SANDLER PC
65 Livingston Avenue
Roseland, NJ 07068

Certificate of Mailing by First Class Mail

I certify that this document is being deposited on
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22313-1450.


Signature of Person Mailing Correspondence

Kelly Billingsley

Typed or Printed Name of Person Mailing Correspondence

CC:

| INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i> | | | | Docket Number (Optional) 14846-33 | | Application Number TBA | | |
|--|-----|-----------------|---------|---|-----------------|----------------------------------|-------------------------------|----|
| | | | | Applicant(s) Andrew Doddington | | | | |
| | | | | Filing Date October 30, 2003 | | Group Art Unit TBA | | |
| U.S. PATENT DOCUMENTS | | | | | | | | |
| *EXAMINER INITIAL | REF | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | |
| | 1 | 2002/0038320 | 3/28/02 | Brook | | | | |
| | 2 | 2003/0018666 | 1/23/03 | Chen et al. | | | | |
| | 3 | 2003/0069975 | 4/10/03 | Abjanic et al. | | | | |
| | 4 | 2003/0070158 | 4/10/03 | Lucas et al. | | | | |
| | 5 | 2003/0140308 | 7/24/03 | Murthy et al. | | | | |
| | 6 | 2003/0163603 | 8/28/03 | Fry et al. | | | | |
| | 7 | 2003/0167445 | 9/4/03 | Su et al. | | | | |
| | 8 | 2003/0177341 | 9/18/03 | Devillers | | | | |
| | 9 | US 6,601,075 | 7/29/03 | Huang et al. | | | | |
| | 10 | 2003/0145047 | 7/31/03 | Upton | | | | |
| | 11 | 2003/0177118 | 9/18/03 | Moon et al. | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | | |
| | REF | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation | |
| | | | | | | | YES | NO |
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| OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | | | |
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| | | | | | | | | |
| EXAMINER | | | | | DATE CONSIDERED | | | |
| EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | | |

September 26, 2003

George D. Morgan, Esq.
Lowenstein Sandler PC
65 Livingston Avenue
Roseland, New Jersey 07068-1791

Re: Patentability Search in respect of a "Methods and systems for using XML schemas to identify and categorize documents"

Your Ref: 14846-33

Our Ref: SANDLER-20054

Dear Mr. Morgan:

Responsive to your search request, a patentability search has been conducted on the above subject matter.

Objective:

The purpose of the search is to locate references disclosing a method for identifying XML document including a step of obtaining documents, matching the document against a plurality of XML schemas that specify a set of document types that support a particular application, and based on the results of these comparisons, outputting information regarding the document type. The outputted information could include information regarding the identification of the document type. In the event that the document fails to match the schema exactly, the document type which most closely matches the given document could be identified.

Results of the Search:

Your attention is brought to the following:

US publication 20030177341 published by Devillers discloses an XML schema syntactic analysis method which is used to carry out the syntactic analysis of a bit stream to produce a document. Please see [0001], [0009], [0013], [0024], [0050].

US patent 6,601,075 issued to Huang discloses a system and method for ranking and retrieving documents based on authority scores of schemas and document. Fig 2-3, column 3, line 55 column 5.

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US publication 20030145047 published by Upton discloses a system and method in which a schema can be used to ensure that a communication such as a request or response is in the proper format for one of the components. The metadata can be transformed to a response document that conforms to a schema. The document can be validated against the schema and passed on to the client application. Please see [0075], [0076].

US publication 20030177118 published by Moon discloses a system and method for classification of documents in which a classification engine executes a classify command from a client that makes use of similarity search results, and rules files, classes files, and a classification profile. When the classification receives a classification profile and input documents to be classified, sends extracted values from the input documents based on anchor values to a XML transformation engine to obtain a search schema and classifies the input documents and anchor values and input documents according to the rules files, classes files, and the classification profile. Please see [0005]-[0010].

The following references were selected as being of a marginal possible additional interest:

| <u>Patent Number</u> | <u>Inventor</u> | <u>Date Issue</u> |
|----------------------|-----------------|-------------------|
| 2002/0038320 | Brook | 03/28/2002 |
| 2003/0018666 | Chen et al. | 01/23/2003 |
| 2003/0069975 | Abjanic et al. | 04/10/2003 |
| 2003/0070158 | Lucas et al. | 04/10/2003 |
| 2003/0140308 | Murthy et al. | 07/24/2003 |
| 2003/0163603 | Fry et al. | 08/28/2003 |
| 2003/0167445 | Su et al. | 09/04/2003 |

The field of search was directed to the following areas:

| <u>Class</u> | <u>Subclass/es</u> |
|--------------|--------------------|
| 707 | 104.1, 100, 1 |

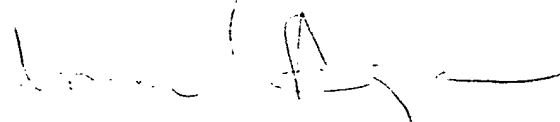
All the references cited herein above have been photocopied and are enclosed with your disclosure.

George D. Morgan, Esq.
September 26, 2003
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If we may be of any further service, please advise.

Thank you for giving us an opportunity to be of service to you.

Very truly yours,

A handwritten signature in dark ink, appearing to read 'Israel Agranov', written over a horizontal line.

Israel Agranov, Ph.D.
Senior Vice President

A handwritten signature in dark ink, appearing to read 'C. C. Shroff', written over a horizontal line.

C. C. Shroff, Ph.D.
Associate Vice President

IA/CCS/SK/ss

Enclosures